



## INFORMATION DISCLOSURE STATEMENT

Applicants:	Mark Grimse et al.
Application No.	09/805,646
Filed:	March 13, 2001
For:	Automated Process Guidance System And Method
Group Art Unit:	2121
Examiner:	Michael B. Holm
Attorney Docket No.:	1040659-991101

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Technology Center 2100

Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

In accordance with the provisions of 37 C.F.R. § 1.56(a) and 37 C.F.R. § 1.97, Applicant(s) hereby make of record the references listed on the accompanying Form PTO-1449 for consideration by the Examiner in connection with the examination of the above-identified patent application.

This Information Disclosure Statement:

- (a) ☐ accompanies a new patent application submitted herewith.
- (b) ☐ is filed within three (3) months of the Filing Date or before the mailing date of a First Office Action on the merits; **OR**
- (c) ☒ is filed after the first Office Action and more than three months after the application's filing date or PCT national stage date of entry filing but, as far as is known to the undersigned prior to the mailing date of either a final rejection or a notice of allowance, and is accompanied by either the fee (\$180) set forth in 37 CFR § 1.17(p) or a certification as specified in 37 CFR § 1.97(e), as checked below **OR**
- (d) ☐ is filed after the mailing date of either a final rejection or a notice of allowance, and the issue fee has not been paid, and is accompanied by the requisite petition fee (\$130) set forth in 37 CFR § 1.17(l)(1) and a certification as specified in 37 CFR § 1.97(e), as checked below. This document is to be considered as a petition requesting consideration of the information disclosure statement.

Applicant, pursuant to MPEP 609 and 37 CFR 1.97(d), has not provided a copy of several articles cited in this IDS as these articles were in U.S. Patent Application Serial No. 09/292,653 from which this application properly claims priority under 35 U.S.C. 120.

As required under § 1.97(e), Applicants, through the undersigned, hereby state either that [check the appropriate space]:

- (e) ☐ Each item of information contained in the Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing date of the Information Disclosure Statement; or
- (f) ☐ No item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this Statement after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to any individual designated in § 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.

It is respectfully requested that each of the references shown on the attached Form PTO-1449 be made of record in this application. Copies of the references are enclosed

The Commissioner is authorized to charge any deficiencies and credit any overpayment of fees to our Deposit Account No. 07-1896

Respectfully submitted,

Date: November 26, 2003



GRAY CARY WARE & FREIDENRICH LLP

By: Timothy W. Lohse  
Timothy W. Lohse  
Reg. No. 35,255  
Attorneys for Applicant(s)

Gray Cary Ware & Freidenrich LLP  
2000 University Avenue, East Palo Alto, CA  
94303-2248

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November 26, 2003  
Date

Kathleen LaBrie  
Signature

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STATEMENT BY APPLICANT**

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Sheet 1

of 2

Complete if Known

Application Number	09/805,646
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First Named Inventor	Mark Grimes et al.
Art Unit	2121
Examiner Name	Michael B. Holmes
Attorney Docket Number	1040659-991101

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Technology Center 2100**U. S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
		US- 5,103,498	4/1992	Lanier et al.	
		US- 5,220,500	6/1993	Baird et al.	
		US- 5,485,544	1/1996	Nonaka et al.	
		US- 5,701,400	12/1997	Almado	
		US- 5,787,234	7/1998	Molloy	
		US- 5,787,416	7/1998	Tabb et al.	
		US- 5,809,317	9/1998	Kogen et al.	
		US- 5,818,435	10/1998	Kozuka et al.	
		US- 5,933,140	8/1999	Strahorn et al.	
		US- 6,081,786	7/2000	Barry et al.	
		US- 6,269,355	7/2001	Grimse et al.	
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**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.<sup>1</sup> Applicant's unique citation designation number (optional).<sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PTO/SB/08b (08-03)

Approved for use through 06/30/2006. OMB 0651-0031

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**INFORMATION DISCLOSURE  
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Sheet 2

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**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		Zhang et al., "Multimedia Courseware Over The Internet", IEEE Candain, Conference on Electrical and Computing Engineering, May 1998	
		Rosis et al., "Adaptive Interaction With Knowledge-Based System" ACM Proceedings of the Workshop on Advance Visual Interfaces, June 1994	
		Schlatter, U.R., "Real-Time Knowledge-Based Support For Air Traffic Management", IEEE Expert. June 1994.	
		Microsoft Press, Computer Disctionary: Third Edition 41, 239-40, 372, 479, 1997.	
		ForeFront, Inc., ForeHelp: Help-Authoring System For Micorsoft Windows 20-26, 99-108, 111-119, 167-71, 1994.	

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

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